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3572 U.S. PTO

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PTO/SB/29 (12/97)
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | | | |
|--|-------------------|-------------|---|
| Attorney Docket No. | 9632-014 | Total Pages | 4 |
| First Named Inventor or Application Identifier | | | |
| Siegall | | | |
| Express Mail Label No. | EL 501 636 145 US | | |

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form [Total Sheets 4]
Submit an original, and a duplicate for fee processing
2. ☒ Specification, including a 2 page table of contents [Total Pages 71]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description of the Invention (including drawings, if filed)
 - Claim(s)
 - Abstract of the Disclosure
3. Drawing(s) (35 USC 113) [Total Sheets 10]
4. Oath or Declaration [Total Sheets 2]
 - ☐ Newly executed (original or copy)
 - ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
 - i. ☐ DELETION OF INVENTORS(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).
5. Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. ☒ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☒ Paper Copy (identical to computer copy) [Total Sheets 3]
 - c. ☒ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney (when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement (IDS)/PTO-1449 [Total Sheets 8]
 - ☒ Copies of IDS Citations (AJ, AQ, AS, AW and BZ)
12. ☒ Preliminary Amendment [Total Sheets 4]
13. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. ☐ Small Entity ☐ Statement filed in prior application, Statement(s) Status still proper and desired
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Other:

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:
☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No: 09/328,296 filed June 8, 1999.

18. CORRESPONDENCE ADDRESS

| | | | | | |
|---|--|--|--|--|--|
| <input checked="" type="checkbox"/> Customer Number or Bar Code Label | | 20583 (Insert Customer No. or Attach bar code label here) | | or <input type="checkbox"/> Correspondence address below | |
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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Prior application: Examiner Karen A. Canella, Ph.D.Art Unit 1642Assistant Commissioner for Patents
Box PATENT APPLICATION
Washington, D.C. 20231

Sir:

This is a request for filing a ☐ continuation ☒ divisional application under 37 CFR § 1.53(b), of pending prior application no. 09/328,296 filed on June 8, 1999.

of Clay B. Siegall, Alan F. Wahl, Joseph A. Francisco and Henry Perry Fell, Jr.
(inventor(s) currently of record in prior application)

for NUCLEIC ACIDS ENCODING ANTI-CD40 PROTEINS AND METHODS OF PRODUCING RECOMBINANT ANTI-CD40 PROTEINS (as amended)
(title of invention)

1. ☒ The filing fee is calculated below:

PATENT APPLICATION FEE VALUE

| TYPE | NO. FILED | LESS | EXTRA | EXTRA RATE | FEE |
|---|-----------|------|-------|--------------|-------------|
| Total Claims | 11 | -20 | 0 | \$18.00 each | \$ 0.00 |
| Independent | 11 | -3 | 8 | \$80.00 each | \$ 640.00 |
| Basic Fee | | | | | \$ 710.00 |
| Multiple Dependency Fee If Applicable (\$270.00) | | | | | \$ 0.00 |
| Total | | | | | \$ 1,350.00 |
| 50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern | | | | | \$ 0.00 |
| Total Filing Fee | | | | | \$ 1,350.00 |

2. ☒ Cancel claims 1/9 and 21/37 without prejudice and enter the Preliminary Amendment enclosed herewith before calculating the filing fee.
3. ☒ Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.
4. ☒ Amend the specification by inserting under the title on page 1, line 3, the following sentence: This is a division of application no. 09/328,296, filed June 8, 1999, which is incorporated by reference herein in its entirety.--

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- 5a. ☐ Transfer the drawings from the prior application to this application and abandon the prior application as of the filing date accorded this application. A duplicate copy of this sheet is enclosed for filing in the prior application file.
- 5b. ☐ New formal drawings are enclosed.
- 5c. ☒ Informal drawings are enclosed.
- 6a. ☐ Priority of application no. filed on in is claimed under 35 U.S.C. §119.
- 6b. ☐ The certified copy has been filed in prior application no. , filed .
7. ☒ The prior application is assigned of record to Seattle Genetics, Inc., recorded as of June 8, 1999 on Reel 010035, Frame 860.
- 8a. ☒ The Power of Attorney appears in the original papers in the prior application no. 09/328,296, filed June 8, 1999; a copy of the Power of Attorney is enclosed.
- 8b. ☐ Since the Power of Attorney does not appear in the original papers, a copy of the Power in prior application no. , filed is enclosed.
9. ☒ This application contains nucleic acid and/or amino acid sequences required to be disclosed in a Sequence Listing under 37 CFR §§1.821-1.825. It is requested that the Sequence Listing in computer readable form from prior application no. 09/328,296, filed on June 8, 1999 be made a part of the present application as provided for by 37 C.F.R. §1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A copy of the paper Sequence Listing from application no. 09/328,296 is enclosed.
10. ☒ The undersigned states, under 37 C.F.R. §1.821(f), that the content of the enclosed paper Sequence Listing from application no. 09/328,296 is the same as the content of the computer readable form submitted in application no. 09/328,296.
11. ☒ Additional enclosures or instructions. Preliminary Amendment; Information Disclosure Statement; List of References Cited; and copies of references AJ, AQ, AS, AW and BZ.

Respectfully submitted,

Date November 28, 2000

Adriane M. Antler 32,605
 Adriane M. Antler (Reg. No.)
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